

FILED: *Records 4*

Approved For Release 2005/11/21 : CIA-RDP70-002 ~~RECORDED~~ ~~RETURNED~~

A RECORDS MANAGEMENT SURVEY FOR YOUR OFFICE RECORDS MANAGEMENT DIVISION

I. PURPOSE:

To assist you with your records management program.

II. OBJECTIVES:

1. Install the filing system adopted by the Agency and developed to meet your particular requirements. (See Exhibit 1.)
2. Appraise the Agency records maintained in your files for the purpose of establishing the proper organizational level at which they should be filed.
3. Assure the proper documentation of the Agency's organization, functions, policies, decisions, procedures and essential transactions. This is a responsibility prescribed by law, and it is the opinion of our legal staff that it was the desire of Congress to comply with the law, except where compliance would result in the unauthorized disclosure of intelligence sources and methods.
4. Consider the most appropriate physical location of the records; i. e., should the related records at this organizational level be located in each of several offices or combined and serviced from a central facility.
5. Propose appropriate retirement procedures for the periodic removal of inactive records from active office space, and their ultimate disposition.
6. Review the receiving, recording and controlling of incoming communications and suggest improvements.

III. WHO MAKES THE SURVEY:

1. The survey will be made by one or more trained Records Analysts who will work with a designated person from your office.
2. They will acquaint themselves with the existing handling and filing methods by observing and talking with the individuals actually doing each job.
3. They will then review the files to determine the subject of the material. The extent of review depends on the effectiveness and type of system in use. In some cases the contents of the entire folder concerns the same subject and a glance at only a few pieces is necessary.

IV. RESULTS OF THE SURVEY:

1. The Records Analysts will prepare and submit a written report of their recommendations.
2. A manual covering correspondence handling and filing and a classified index for the filing system will be prepared.
3. The Records Analysts will assist in installing the system and training the personnel to operate it.
4. Records Analysts will periodically review the system and recommend changes and additions to the manual based on experience.

V. OUTLINE OF THE AGENCY FILING SYSTEM:

1. The Agency has adopted the subject-numeric system of classification and filing.
2. The main designations under which records are classified and filed are identifying words used as subject matter categories, with subdivisions of these categories assigned numerals.
3. Primary subject categories are listed in alphabetical order with related subjects grouped as subdivisions of the primary subjects.
4. The subdivisions of primary subjects are assigned numerals to reduce time and effort in marking material for filing.
5. Additional subdivisions of secondary and tertiary subjects may be accomplished by the use of a dash and another numeral. See Exhibit #1.
6. The subject files are maintained by calendar years.
7. New folders bearing the same subject name are prepared each year and placed in front of the old folders. This will facilitate disposition at a later date.
8. An alphabetical name index is established to complement the subject file. This index facilitates reference to material maintained in the subject file which may be requested by names of people or organizations.

VI. ADVANTAGES OF THE AGENCY FILING SYSTEM:

1. Provides employees who have the responsibility for filing or finding correspondence records, with a basic plan for their orderly arrangement and maintenance.
2. Increases the administrative usefulness of our records.
3. Expedites the disposition of records when no longer needed.
4. Facilitates the selection and assures the preservation of records having permanent value.
5. Simplifies the training of employees.

ARRANGEMENT OF FOLDERS, GUIDES AND LABELS

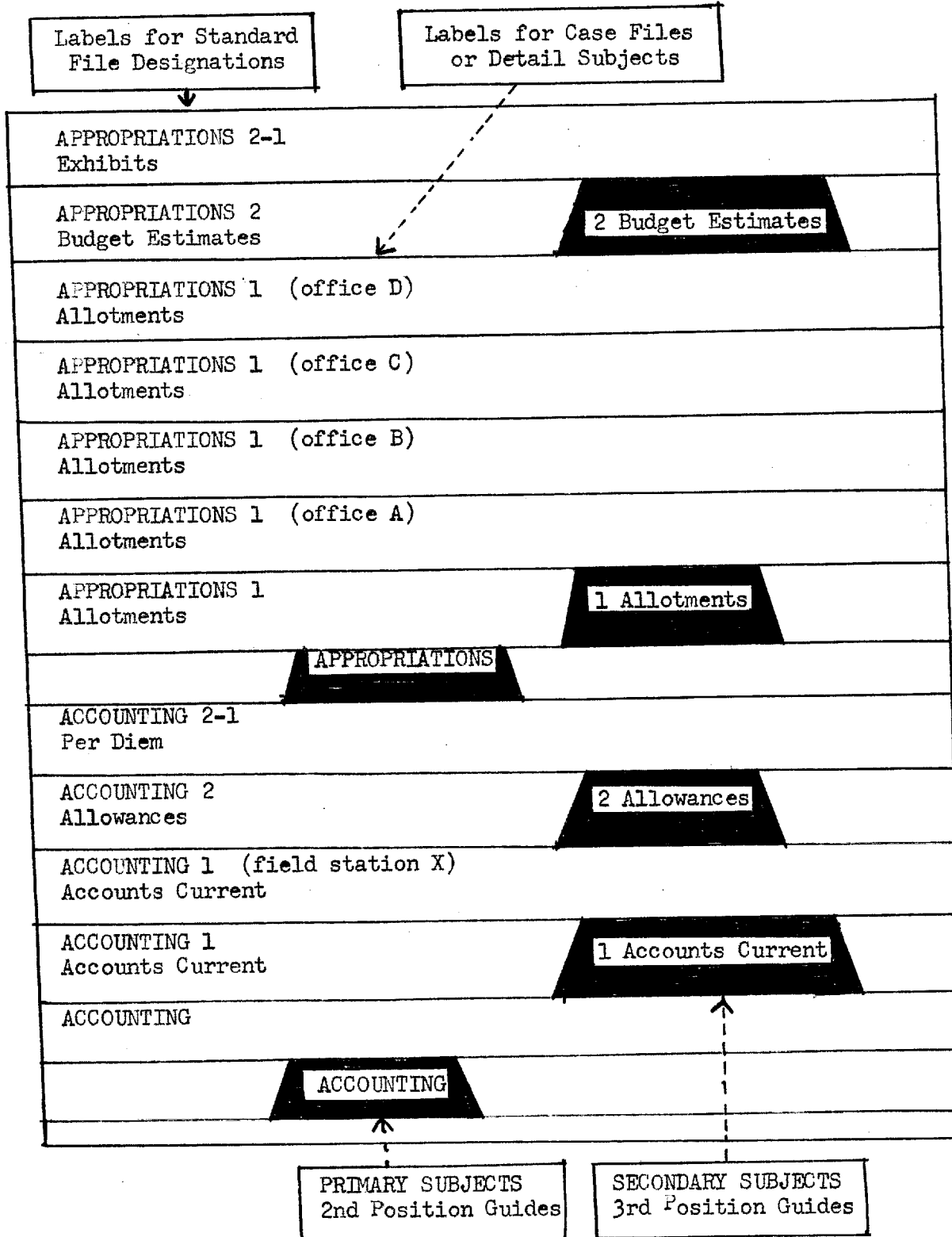


EXHIBIT 1

RECORDS MANAGEMENT SURVEY

"What and Why"

The approval of a survey of the records of your office is requested. The survey would be conducted by Records Analysts of the Records Management and Distribution Branch of General Services and would be made for the purpose of recommending such changes as may be necessary to establish approved agency records management practices in your office.

Briefly, the objectives of this survey are as follows:

1. Install the filing system adopted by the Agency but developed to meet your particular requirements. (See exhibit 1.)
2. Appraise the Agency records maintained in your files for the purpose of establishing whether certain types of material should more properly be filed at a higher or lower organizational level.
3. As a result of Items 1 and 2 above, assure the proper documentation of the Agency's organization, functions, policies, decisions, procedures and essential transactions. This is a responsibility prescribed by law, and it is the opinion of our legal staff that it was the desire of Congress for CIA to comply with the law, except where compliance would result in the unauthorized disclosure of intelligence sources and methods. Proper documentation is important not only from a legal and historical standpoint but also because of the responsibility of office incumbents to have records which will give their successors the advantage of experience, as reflected by the records.
4. Give consideration to the most appropriate location of the records; i.e., should the related records at this organizational level be physically located in each of several offices or combined and serviced from a central facility?
5. Propose appropriate retirement procedures which will provide for the periodic removal and ultimate disposition of inactive records occupying active office space.
6. Review and suggest improvements in the method for receiving, recording and controlling incoming communications.

The usual method employed in making such a survey is to assign a team of two or more analysts to the project, depending on the size of the office. These analysts first acquaint themselves with the existing handling and filing methods by observing and talking with the individuals actually doing each job. The second step is a review of the files which involves scanning to determine the subject of the material in each of the present folders. The extent of the scanning of individual folders depends on the effectiveness and type of system in use. In some cases the contents of the entire folder concerns the same subject and a glance at only a few pieces is necessary. In name and organization type files, chronological files and the general or miscellaneous folders in subject files, it is necessary to scan

each piece. Determining the subject involves associating the correspondence with previously established subjects or, if not covered by the established subjects, briefly listing the subject matter. After the entire file has been reviewed, these listings are used to set up the primary and secondary subjects necessary to complete the subject file plan.

Some offices may consider their file material too sensitive to permit review by our Records Analysts. In such instances it would be necessary for the office to assign someone to work with the Records Analysts, who will assist the assigned individual in setting up the proper subject headings.

Upon completion of the file review, the Records Analysts will prepare and submit a written report of their recommendations. If the recommendations are accepted, the Records Analysts will prepare a manual specifically for that office covering correspondence handling and filing and including a classified index for the filing system. They will also assist in installing the changes and training the affected personnel to the extent desired. After the changes are made, it is desirable for the Records Analysts to periodically review the system and make such changes and additions to the manual, as are proved necessary by experience.

The file classification plan adopted for use in this Agency is known as the Subject-Numeric System of Classification and Filing. In this system the main designations under which records are classified and filed are actually identifying words used as subject matter categories, with subdivisions of these categories assigned numerals. Primary subject categories are listed in alphabetical order with related subjects grouped as subdivisions of the primary subjects. The subdivisions of primary subjects are assigned numerals to reduce time and effort in marking material for filing. Additional subdivisions of secondary and tertiary subjects may be accomplished by the use of a dash and another numeral. See Exhibit #1.

These subject files are maintained for a definite filing period of one year. At the end of this period, new folders bearing the same subject name and identified by year are prepared and placed in front of the old folders. This will facilitate disposition at a later date. To complement the subject file an alphabetical name index is established. This index facilitate reference to material maintained in the subject file which may be requested by names of people or organizations.

Probably your filing system appears to be working satisfactorily and you would be reluctant to change. We would, therefore, like to briefly point out the advantages of making such a change.

The adoption of the agency system would provide employees, who have the responsibility for filing or finding correspondence records, with a basic plan for their orderly arrangement and maintenance. The use of this basic plan throughout all offices of the agency will increase the administrative usefulness of our records; expedite the disposition of records when no longer needed; facilitate the selection and assure the preservation of records having permanent value; and simplify the training of employees.

NOTE: Authorization for the Agency's Records Management Program is contained in CIA Regulation

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ARRANGEMENT OF FOLDERS, GUIDES AND LABELS

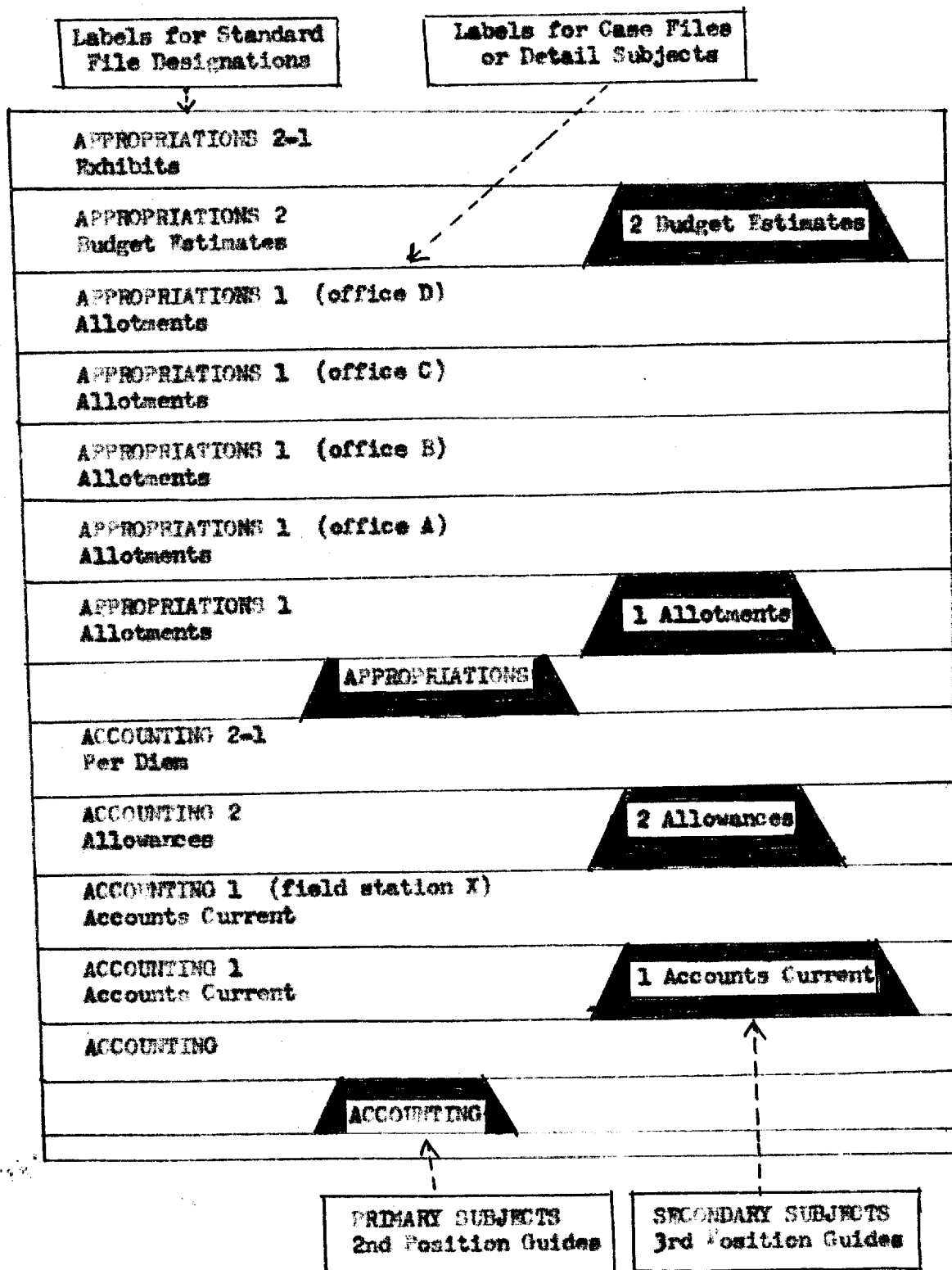


EXHIBIT 1

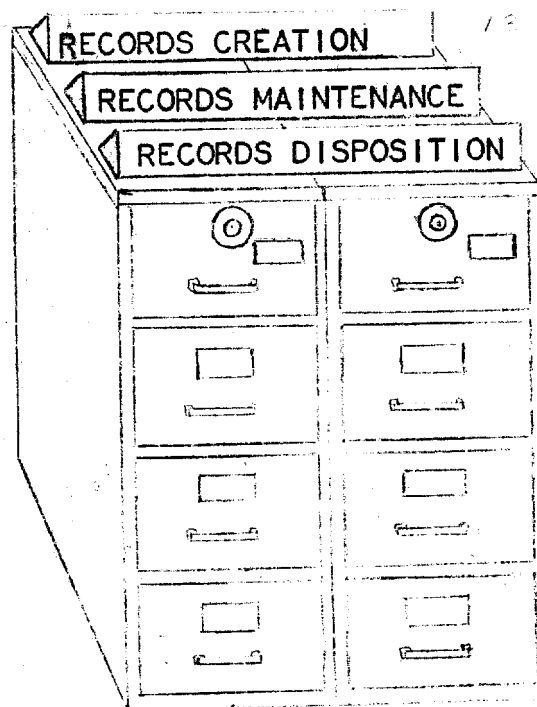
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Approved For Release 2005/11/21 : CIA-RDP70-00211R000300140016-5

**THE CENTRAL INTELLIGENCE AGENCY
RECORDS MANAGEMENT PROGRAM GUIDE**

YES
AREA RECORDS EFFECTS

**A BRIEF ON THE FUNCTIONAL
AREAS OF RECORDS MANAGEMENT**



**GENERAL SERVICES OFFICE
RECORDS MANAGEMENT & DISTRIBUTION BRANCH**
SAVED FROM DESTRUCTION

Approved For Release 2005/11/21 : CIA-RDP70-00211R000300140016-5

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FOREWORD

This pamphlet has been prepared in response to requests for a concise outline of the scope of the Agency Records Management Program. It is not intended that it serve as an operating handbook, but instead, is designed to provide information for the use of Area Records Officers in presenting the Program to operating officials and other area personnel. Accordingly, program objectives and the methods to accomplish them have been stated in broad terms. ~~at the Area Records Officer level,~~

The Guide is written functionally; therefore phases of the Program are not necessarily outlined in the order in which they will be undertaken. However, the Guide will familiarize Agency personnel with the areas to be covered and will provide the Area Records Officers with a basis for scheduling the various steps of the Program.

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SECTION I

AN INTRODUCTION TO RECORDS MANAGEMENT

Records are defined by statute, and Federal agencies are required by law to establish and maintain an active and continuing Records Management Program. Authority to destroy ~~their~~ records is obtained from the Congress through the National Archives and Records Service in accordance with its prescribed standards and procedures. In CIA, this authority is obtained by the Records Management and Distribution Branch, General Services Office.

Records Management is a specialized field of work and deals with problems and practices relating to the creation, maintenance, organization, and use of records in the conduct of current business, and in the preservation, elimination, transfer or other disposition of those records which are not currently required or are seldom used. Although the need for adequate management over the accumulation of records exists from the time they are created or received until their final disposition, it is recognized that it is not possible to have such management absolutely alike in all areas because of the differences in organizational structure and substantive functions.

The essential guides and sources of detailed information for implementing the Agency Records Management Program will be handbooks developed in cooperation with operating and staff officials. In addition, the Records Management and Distribution Branch periodically will publish bulletins and other guides containing timely information on the Program.

There are presented in the following sections definitions and a general outline providing the reader with an over-all picture of the functional areas of records management. These areas are: Creation of Records; Organization, ~~and~~ Maintenance ^{AND USE} of Records; ~~Systems~~; Disposition of Records; and the Vital Materials Program.

SECTION II

DEFINITIONS

For purposes of this guide, the following definitions apply:

Records include all books, papers, maps, photographs, films, recordings or other documentary material, regardless of physical form or characteristic, made or received by any portion of the Agency in pursuance of Federal law or in connection with the transaction of public business and preserved, or appropriated for preservation, by the Agency or its legitimate successor as evidence of the organization, functions, policies, personnel, decisions, procedures, financial or legal transactions, operations, or other activities, or because of the informational value of data contained therein.

Non-record material includes library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications or processed documents.

Forms are printed or reproduced documents with blank spaces provided for inserting specific information. Form letters are printed or reproduced letters to furnish information for repeated mailings or one mailing to numerous destinations. Form letters with or without blank spaces, except for actual intelligence information produced therein, are considered forms.

Reports are all requirements for written ^{data}~~reports~~ one time or recurring, established to provide administrative or management control of operations.

Correspondence includes all memoranda, letters, and dispatches (~~excluding operational reports~~) sent to or received by a person in the Agency in the execution of his official duties.

SECTION III

CREATION OF RECORDS

REPORTS MANAGEMENT

Objectives

1. Eliminate and prevent unnecessary or duplicate reporting.
2. Insure that instructions, forms, and procedures for necessary reports are clear and complete to provide simple and direct reporting methods.
3. Insure that required reports provide adequate data and that realistic reporting intervals are established.
4. Provide a central reference point for information on reports.

Method of Accomplishment

1. Conduct an initial reports inventory and establish reference and analysis files.
2. Establish controls for the clearance through the ~~ARO~~ of all proposed reporting requirements.
3. Review and analyze all new reporting requirements placed by the office upon other CIA elements and other Government agencies.
4. Analyze all reports prepared by the office to insure that reports are prepared in the most efficient manner, and to develop recommendations for submission to requiring offices or agencies.

5. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing report and the adequacy of Reports Management records.

FORMS MANAGEMENT

Objectives

1. Insure the need for each existing form and each proposed form.
2. Reduce the number of forms by consolidating those serving like functions, eliminating obsolete or ineffective forms, and using standard Government forms when appropriate.
3. Simplify, standardize, and improve essential forms according to Agency standards.
4. Insure that forms are reproduced, stocked, and distributed as economically as possible.
5. Insure that procedures for use with specific forms (or groups of forms) provide for maximum efficiency and utilization of personnel.
6. Provide a central reference point for information on forms.

Method of Accomplishment

1. Conduct an initial forms inventory and establish reference and analysis files.
2. Establish controls for the clearance through the ~~ARO~~ of all proposed new and revised forms.

3. Review and analyze all requirements for forms and the procedures related to their use.
4. In view of changes in organization and requirements, conduct periodic surveys to insure the necessity for each existing form and the adequacy of Forms Management records.

CORRESPONDENCE MANAGEMENT

Objectives

1. Simplify and speed up the preparation and handling of correspondence.
2. Improve the quality of correspondence and adequacy of documentation.
3. Enable faster training and increased utilization of personnel.
4. Create better public relations.

Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence prepared.
2. Provide measures for the continuous review of correspondence practices.
3. Develop and maintain uniform correspondence procedural and style policies and practices.
4. Develop and employ the use of pattern paragraphs, letter guides, and form letters.

6. Develop and maintain quality standards for improving letter content and letter writing aptitudes.
5. Review copy requirements to prevent the preparation of nonessential copies of communications.

SECTION IV

ORGANIZATION ~~AND~~ MAINTENANCE OF RECORDS SYSTEMS

CORRESPONDENCE CONTROL

Objectives

1. Provide for the prompt and systematic flow of correspondence from originators to action or information addressees.
2. Insure that action is accomplished within established time limits.
3. Provide receipt control for the exchange of classified matter, negotiable instruments, etc.

Method of Accomplishment

1. Conduct surveys to determine the types and volume of correspondence handled, production rates of machines and personnel, and the process steps affecting the flow of work.

2. Develop recommendations regarding the functional organization and staffing of the office, correspondence processing steps and techniques, forms, and the utilization of labor saving equipment.
3. Install the revised system, train area personnel in its use, and conduct periodic follow-up to insure adequacy of the system.

REFERENCE SERVICE

Objectives

1. Locate file stations realistically and insure that the contents of files are adequate for the reference services required.

Method of Accomplishment

1. To determine the best locations for file stations, consider: The degree to which administrative responsibility or control is delegated; the possible elimination of duplicate files; the quality of filing standards desired; the accessibility of files to users; any restrictions on the use of classified material; and the flow of material to the files.
2. To provide adequate reference service, determine: The volume and kinds of papers filed; manner in which requests for file material are made; impact of work flow on files; trends indicative of future reference requirements; and the adequacy of personnel, supplies, forms, and equipment.

3. Develop recommendations, install the revised system train area personnel in its use, and conduct periodic follow-up to insure its adequacy.

028 MAINTENANCE MANAGEMENT

Objectives

1. Develop a classification plan for the standardized filing of both the general administrative material and records dealing with the operational activities of the office.
2. Develop filing standards for the orderly maintenance and preservation of current records.
3. Provide auxiliary records or indexes (finding media) to facilitate reference to primary records.
4. Develop specialized systems for records pertaining to the operational activities of the office.

Method of Accomplishment

1. To develop a classification plan:
 - a. Analyze the content of records to determine definitive subject categories (primary, secondary, tertiary, etc.).
 - b. Apply the Subject-Numeric System of the Agency Filing Manual to general administrative records, and develop such special systems necessary for filing records of operational activities, of the office.

2. To develop filing standards:
 - a. Determine what material on specific transactions or subjects are to be kept together, the arrangement of folders, and the methods of labeling folders, guides, and file drawers.
 - b. Install revised system, prepare written instructions, arrange for equipment and supplies, train area personnel, and conduct periodic follow-up to determine adequacy of system.
3. To provide adequate finding media:
 - a. Consider volume and complexity of records and the organizational structure of area served to determine type of index or guide needed.
 - b. Develop necessary forms and written instructions to implement the system, and procure equipment for its installation.
4. Analyze operational records to determine the extent that machine methods and other specialized forms of record keeping can be employed.

EQUIPMENT AND SUPPLIES STANDARDS

Objectives

1. ~~Establish standards for the utilization of filing equipment and supplies.~~

Effect standardization of filing equipment and filing supplies.

Method of Accomplishment

1. Conduct surveys, provide guides, and establish control measures to insure that filing equipment and supplies ~~are utilized according to~~ ^{conform} standards promulgated by the Records Management and Distribution Branch.

SECTION V

DISPOSITION OF RECORDS

Objectives

1. Provide for the economical and systematic disposition of Agency records including their preservation, retention, transfer, and disposal according to Federal statutes and regulations.
2. Release high cost office space and filing equipment no longer needed in the daily routine of business.

Method of Accomplishment

1. Prior^{to} conducting a records disposition survey, obtain background information regarding the organizational structure of offices to be surveyed, their functions and missions, and the flow of work within and between offices concerned.

2. Plan the disposition survey, taking into consideration the availability of personnel, and the size and complexity of the organization. Determine in advance the basic records unit to be inventoried (i.e., whether each separate form, or a group of records serving the same purpose, will be reviewed), and specify the criteria to be used for describing each unit of record. Consider also the possibility of obtaining information of value for records management functions other than records disposition.
3. Conduct the inventory and record all pertinent information which will be needed to determine retention periods and the disposition of records.
4. Evaluate records in terms of their immediate usefulness to the Agency for administrative, legal, fiscal, and other operating purposes. Clear recommendations with operating officials.
5. Develop records control schedules in the form of directives to provide for the disposition of record and non-record material by either permanent preservation, microfilming, destruction, or transfer to less expensive records storage in the CIA Records Center. Obtain approval of schedules from operating officials and the CIA Records Officer.
6. Maintain records control schedules up to date in view of changes in organization and requirements.
7. Conduct periodic follow-up to insure that records control schedules are adequate and that the disposition of records is being effected in accordance with schedules.

SECTION VI
VITAL MATERIALS PROGRAM

Objectives

1. Provide for the secure transfer, storage, and ultimate disposition of materials essential to the Agency on a continuing basis and which in the event of destruction would constitute an irreplaceable loss.

Method of Accomplishment

1. In collaboration with the CIA Vital Materials Officer and operating officials:
 - a. Identify vital materials and determine their disposition.
 - b. Develop ^{subordinate to} deposit and disposition schedules.
 - c. Initiate the transfer of vital materials to the repository.

R E C O R D S M A N A G E M E N T B U L L E T I N

RECORDS MANAGEMENT & DISTRIBUTION BRANCH
VOL. 1 No. 5 RECORDS SERVICES DIVISION - GENERAL SERVICES OFFICE October 1953

RECORDS MANAGEMENT PROGRAM GUIDE

The attached "Records Management Program Guide" has been prepared in response to requests for a concise statement of the scope of the Records Management Program. The Guide not only outlines the functional areas and objectives of the Program but also describes the means whereby these objectives may be attained.

The Guide is designed to serve as background information for the use of the Area Records Officers in presenting the Program to the operating officials and other area personnel. It is written functionally and is not necessarily in the order in which the Program should be undertaken; however, it will familiarize the Area Records Officers with the areas to be covered and provide a basis for scheduling the various steps in the Program.

Additional copies of the Records Management Program Guide may be obtained from the Records Management and Distribution Branch, Ext. Wide circulation of the Guide is encouraged.

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Chief, General Services Office

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Attachment:
Records Management Program Guide

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Reviewed by
Suggest change in title of Guide,
See remarks note on cover.